

01/18/02

JCS/JS
S. PTO

1-23-02

PTO/SB/35

Approved for use through 10/31/2002. OMB Office
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. CP-1223
First Inventor Mu-III LIM, et al
Title Primary Intermediates for Oxidative Coloration..
Express Mail Label No. EM239 961 557US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit on original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 48]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
5. Oath or Declaration [Total Pages 2]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Attorney
(when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. /
Prior application information Examiner Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label [Insert Customer Number or Address Bar Code Label Here] or ☒ Correspondence address below

Name Charles J. Zeller
Clairol Incorporated
Address 2 Blachley Road
City Stamford State Connecticut Zip Code 06922
Country United States Telephone (203) 316-2566 Fax

Name (Print/Type) Charles J. Zeller Registration No. (Attorney/Agent) 28,682
Signature [Signature] Date 01/18/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number **JANUARY 18, 2002**
Filing Date
First Named Inventor **MU-III LIM, et al**
Examiner Name
Group Art Unit
Attorney Docket No. **CP-1223**

TOTAL AMOUNT OF PAYMENT (\$)
1086.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-3864**
Deposit Account Name **CLAIROL INCORPORATED**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity	Fee Code	Fee Code	Fee Description	Fee Paid
101 740 201 370			Utility filing fee	740.00
106 330 206 165			Design filing fee	
107 510 207 255			Plant filing fee	
108 740 208 370			Reissue filing fee	
114 160 214 80			Provisional filing fee	
SUBTOTAL (1)				(\$) 740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
23	-20** = 3	18.00	54.00
Independent Claims	-3** = 3	84.00	252.00
Multiple Dependent			

Large Entity Small Entity	Fee Code	Fee Code	Fee Description
103 18 203 9			Claims in excess of 20
102 84 202 42			Independent claims in excess of 3
104 280 204 140			Multiple dependent claim, if not paid
109 84 209 42			** Reissue independent claims over original patent
110 18 210 9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) **(\$)** 306.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee Code	Fee Description	Fee Paid
105 130 205 65				Surcharge - late filing fee or oath	
127 50 227 25				Surcharge - late provisional filing fee or cover sheet	
139 130 139 130				Non-English specification	
147 2,520 147 2,520				For filing a request for ex parte reexamination	
112 920* 112 920*				Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*				Requesting publication of SIR after Examiner action	
115 110 215 55				Extension for reply within first month	
116 400 216 200				Extension for reply within second month	
117 920 217 460				Extension for reply within third month	
118 1,440 218 720				Extension for reply within fourth month	
128 1,960 228 980				Extension for reply within fifth month	
119 320 219 160				Notice of Appeal	
120 320 220 160				Filing a brief in support of an appeal	
121 280 221 140				Request for oral hearing	
138 1,510 138 1,510				Petition to institute a public use proceeding	
140 110 240 55				Petition to revive - unavoidable	
141 1,280 241 640				Petition to revive - unintentional	
142 1,280 242 640				Utility issue fee (or release)	
143 460 243 230				Design issue fee	
144 620 244 310				Plant issue fee	
122 130 122 130				Petitions to the Commissioner	
123 50 123 50				Processing fee under 37 CFR 1.17(c)	
126 180 126 180				Submission of Information Disclosure Stmt	
581 40 581 40				Recording each patent assignment per property (times number of properties)	40.00
146 740 246 370				Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740 249 370				For each additional invention to be examined (37 CFR § 1.129(b))	
179 740 279 370				Request for Continued Examination (RCE)	
168 900 168 900				Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)**40.00**

SUBMITTED BY

Name (Print/Type) **Charles J. Zeller, Esq.**

Signature

Registration No. (Attorney/Agent) **28,682**

Complete (if applicable)

Telephone **203-316-2566**

Date **January 18, 2002**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Certificate of Mailing

Date of Deposit: JANUARY 18, 2002

I hereby certify that the following correspondence is being deposited with the United States Postal Service with Sufficient postage as "EXPRESS MAIL" # EM 239 961 557 US

on JANUARY 18, 2002 in an envelope addressed to:

BOX PATENT APPLICATION
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D. C. 20231

- (1) New Patent Application containing 39 pgs. of specification; 8 pgs.; of claims; 1 pg. Abstract
- (2) Combined Declaration and Power of Attorney (2 pgs.) ;
- (3) Assignment (2 pgs.) with Recordation Form Cover Sheet (in dupl.)
- (4) Application Fee Transmittal Form in dupl.
- (5) Utility Patent App. Transmittal
- (6) Certificate of Mailing (Express Mail)
- (7) Return Postcard

Maria Yackanicz / Maria Yackanicz
Signature of person mailing papers & fee